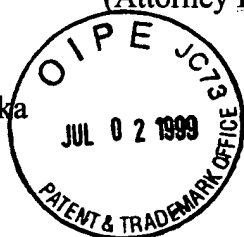


SECRET  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

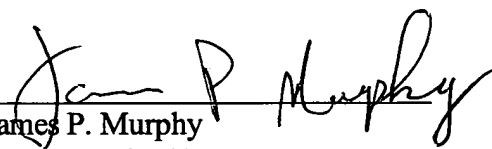
(Attorney Docket No. 12406US01)



Applicant: Milan Kratka )  
Serial No. 09/283,781 )  
Filed: April 1, 1999 )  
For: RISK ADJUSTED METHOD )  
FOR COMPUTING )  
FINANCIAL DERIVATIVES )  
Group Art Unit: )  
Examiner: )

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, BOX MISSING PARTS, Washington, D.C. 20231 on June 29, 1999.

By:   
James P. Murphy  
Reg. No. 40,741

**COMPLETION OF FILING REQUIREMENTS**

**BOX MISSING PARTS**

Assistant Commissioner for Patents  
Washington, D.C. 20231

This replies to the Office letter dated April 29, 1999. Enclosed are the following:

1. A copy of the Notice to File Missing Parts of Application-Filing Date Granted (Form PTO-1533) is enclosed;
2. The original declaration or oath which was filed was determined or is believed to be defective. A new original oath or declaration is attached;
3. Attached is a Statement by a registered attorney that the application filed in the PTO is the application which the inventor executed by signing the declaration and
4. An executed verified statement that this filing is by a small entity is attached.

**FEES**

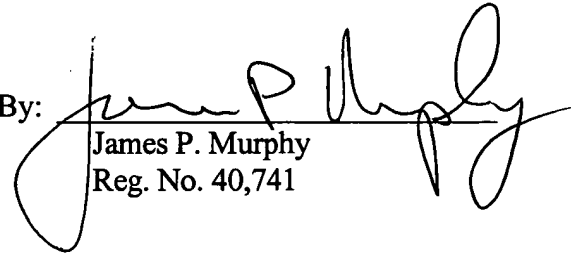
1. The Commissioner is hereby authorized to charge the amount of **\$65.00** for the filing fee for the late filing of original declaration or oath (37 CFR 1.16(e)) for a small entity to Account No. 13-0017.

2. The Commissioner is hereby authorized to charge any additional filing fees which may be required under 37 C.F.R. 1.16 for this application and for any amendment thereto, or credit any overpayment to Account No. 13-0017.

Respectfully submitted,

Date: June 29, 1999

By:

  
James P. Murphy  
Reg. No. 40,741

McAndrews, Held & Malloy, Ltd.  
34th Floor  
500 West Madison Street  
Chicago, IL 60661  
312/707-8889



**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

JPM/EAS

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/283,781 04/01/99 KRATKA M 12406US01

0232/0429

MCANDREWS HELD & MALLOY LTD  
500 WEST MADISON STREET  
34TH FLOOR  
CHICAGO IL 60661

NOT ASSIGNED

June 29, 1999  
Missing Parts

2761

DATE MAILED:

04/29/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION  
Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of \$65.00 for a small entity in compliance with 37 CFR 1.27, or \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a

☐ small entity (statement filed) ☐ non-small entity is \$ ~~65.00~~ 310.

☒ 1. The statutory basic filing fee is:

- ☐ missing.  
☒ insufficient.

Applicant must submit \$ 380.<sup>00</sup> to complete the basic filing fee and/or file a small entity statement claiming such status. (37 CFR 1.27)

☐ 2. The following additional claims fees are due:

\$ \_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

*L. Dillon*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

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